



**U.S. Department of Housing and Urban Development**

Office of Policy Development and Research

The Research and Evaluation, Demonstrations and Data Analysis and Utilization Program  
(HUDRD)

FR-6100-N-29

Application Due Date: 10/15/2017

The Research and Evaluation, Demonstrations and Data Analysis and Utilization Program  
(HUDRD)

FR-6100-N-29

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## U.S. Department of Housing and Urban Development

<b>Program Office:</b>	Office of Policy Development and Research
<b>Funding Opportunity Title:</b>	The Research and Evaluation, Demonstrations and Data Analysis and Utilization Program (HUDRD)
<b>Announcement Type:</b>	Modification
<b>Funding Opportunity Number:</b>	FR-6100-N-29
<b>Primary CFDA Number:</b>	14.536
<b>Due Date for Applications:</b>	<b>10/15/2017</b>

### Overview

**For Further Information Contact:** Please direct questions regarding the specific program requirements of this Program Notice of Funding Availability (NOFA) to the agency contact identified in Section VII. Please direct general questions regarding the FY2017 NOFAs to the Office of Strategic Planning and Management, Grants Management and Oversight Division, at [AskGMO@hud.gov](mailto:AskGMO@hud.gov).

### Additional Overview Information

Incorporation of the General Section. HUD publishes a General Section each fiscal year that contains requirements for all applicants to HUD's various competitive grant programs, including this NOFA. Applications must meet all of the requirements of the General Section in addition to the requirements of this NOFA to be considered and potentially receive funding. The full title of the General Section is the General Section to HUD's Fiscal Year 2017 Notices of Funding Availability for Discretionary Programs. Copies are available at [Grants.gov](#) and HUD's [Funds Available](#) page.

1. Participative Planning and Implementation. HUD encourages applicants to ensure, where applicable, public decision making and meaningful participation throughout the visioning, development, and implementation of funded projects. HUD encourages applicants to work with all residents of affected areas, especially communities traditionally marginalized from planning processes. In seeking public participation, applicants and grantees must ensure that all communications are provided in a manner that is effective for persons with hearing, visual, and other communications-related disabilities consistent with Section 504 of the Rehabilitation Act of 1973 and, as applicable, the Americans with Disabilities Act. In addition, Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d and Executive Order 13166 require that grantees take responsible steps to ensure meaningful access to services, programs, and activities by persons with Limited English Proficiency (LEP persons).

2. OMB Approval Number(s): 2528-0299

## I. Funding Opportunity Description.

### A. Program Description.

#### 1. Purpose and Summary.

The Research and Evaluation, Demonstrations, and Data Analysis and Utilization program (referred to as "HUDRD") is managed by HUD's Office of Policy Development and Research (PD&R). Through this NOFA, HUD is announcing the availability of up to \$950,000 in FY 2017 funding.

The following projects are eligible for award in the amounts listed:

- **Project 1 - Understanding Child Trajectories in HUD-Assisted Housing.** HUD may award one or more cooperative agreements with a total of all awards not to exceed \$450,000.
- **Project 2 - The Social and Economic Impacts of the Community Development Block Grant Program.** HUD may award one or more cooperative agreements with a total of all awards not to exceed \$500,000.

#### 2. Project Descriptions.

HUD is seeking proposals on the following projects:

a. **Project 1 - Child Trajectories in HUD-Assisted Housing** (HUD may award one or more cooperative agreements with a total of all awards not to exceed \$450,000).

Proposed projects should focus on secondary data analysis using administrative data, survey data, or linked data products (government or other sources) to assess long-term child outcomes among children who reside or resided in HUD-assisted housing. While HUD is interested in how poverty affects childhood trajectories, proposals must explicitly and exclusively target children connected to HUD-assisted housing (See section 3.b for definition)

Researchers can propose to examine existing linked data products (e.g., the National Health Interview Survey or the National Health and Nutrition Examination Survey linked with HUD administrative data, or administrative data products housed at the Census Bureau, Center for Administrative Records Research and Applications). Alternatively, researchers can propose utilizing fuzzy matching (see Section 3.b for definition) techniques to link administrative or survey data with HUD administrative data through the HUD data license agreement process which allows researchers free access to HUD administrative data for research purposes (see [https://www.huduser.gov/portal/research/pdr\\_data-license.html](https://www.huduser.gov/portal/research/pdr_data-license.html) for more information on the data license). Examples include, but are not limited to the National Longitudinal Study of Adolescent Health, the Three City Study, the Fragile Families and Child Well-being Study, the Adverse Childhood Experiences Study, the Early Childhood Longitudinal Study, the National Survey of Children's Health, and Home Visiting administrative data. Additionally, researchers may propose to link HUD administrative data with state administrative data sources such as Medicaid claims data.

Proposed projects must assess trajectory, but can draw from a variety of topical areas, and

proposed analysis may cover a variety of outcome domains including but not limited to:

- Health,
- Education,
- Cognitive Development,
- Energy insecurity,
- Food Insecurity, and
- Delinquency.

Proposed projects should take into account various contextual factors including but not limited to: rural versus urban communities, neighborhood crime, schools, playgrounds, built environments, participation in home visiting and early childhood programs, etc.

#### i. Research Objectives

This solicitation seeks proposals to understand childhood trajectories of children and youth residing in HUD-assisted housing. Researchers may compare differences in trajectories among HUD-assisted children (e.g., compare HUD-assisted children who had few adverse childhood events and HUD-assisted children who had many adverse childhood experiences), or compare differences in trajectories among HUD-assisted children and youth with one or more non-HUD cohorts. HUD is open to a wide variety of research questions and encourages researchers to propose atypical, innovative projects. Examples of such questions are noted below; however, this list does not capture the full range of possible research questions.

##### (1) Health

- Is receipt of housing assistance associated with asthma-related outcomes such as asthma attacks, hospitalizations, and emergency room visits?
- What is the prevalence of adverse childhood experience (ACEs) among children residing in project-based housing? What is the prevalence of adverse childhood experience (ACEs) among children residing in tenant-based housing?
- How is length of stay or age of entry in HUD-assisted housing associated with a child's long-term health outcomes?
- How is the type of housing assistance received associated with a child's long-term health outcomes? Are there specific factors related to the type of housing assistance driving that difference?
- Is the implementation of health interventions programs targeted at children residing in project-based housing associated with behavior change?
- Do HUD-assisted children exposed to home visiting programs experience better mental health outcomes when compared to HUD-assisted children who are not exposed to home visiting programs during critical development periods?
- How are neighborhood characteristics such as blight, and crime related to the health of children and youth residing in HUD-assisted housing?
- What is the spatial relationship between project-based housing and playgrounds and/or spaces to encourage children's play? Does this impact children's health?

##### (2) Education

- Do educational outcomes differ among low-income children residing in households receiving tenant-based assistance when compared to low-income children receiving a project-based subsidy? How is the age of entry in HUD-assisted housing associated with educational outcomes?
- Does receipt of tenant-based assistance result in movement from a low-performing school district to a high-performing school district?

### (3) Cognitive Development

- What is the prevalence of HUD-assisted children meeting key developmental milestones established by the Centers for Disease Control and Prevention (see <https://www.cdc.gov/ncbddd/actearly/milestones/> for more information on milestones)?
- Are HUD-assisted children exposed to key screening programs for prevalent ailments such as Autism Spectrum Disorder?
- Is the type of housing assistance received associated with a child's developmental outcomes or exposure to screening programs?
- What is the prevalence of learning disorder among school-aged, HUD-assisted children and corresponding medication and/or behavioral treatments?

### (4) Energy Insecurity

- How do high rates of energy insecurity effect long-term health and education outcomes for children in HUD-assisted housing?

### (5) Food Insecurity

- How do high rates of food insecurity effect long-term health and education outcomes for children in HUD-assisted housing?

### (6) Delinquency

- When compared to other low-income children, do HUD-assisted children residing in project-based housing experience higher exposure to gun violence and/or parental incarceration?
- How is children's play related to neighborhood characteristics such as crime and accessible green spaces?
- Is the type of housing assistance received, length of stay, or age of entry associated with a child's delinquency?

## ii. Background

Human development involves dynamic interactions between biological, psychological, and environmental processes. Early childhood experiences are particularly important for setting up the psychological and neurobiological scaffolding that dramatically shapes later life outcomes, such as health, education, income, and social relationships. Development follows a protracted trajectory across domains (e.g., cognitive, emotional, social), and exposure to adversity throughout childhood and adolescence can have particularly

detrimental outcomes that are carried into adulthood.

Children from low-income families face more stressors and adverse childhood events than children living in advantaged circumstances (Danese et al., 2009; Herman et al., 1997; Duke et al., 2010). Adverse childhood events (ACEs) include physical, sexual, and emotional abuse; physical and emotional neglect; exposure to violence and substance abuse; and disruptions in household stability such as parental divorce or incarceration. Exposure to ACEs is associated with poor outcomes such as substance abuse, poor physical and mental health, and unemployment (Dube et al., 2003).

Programs that help mitigate the effects of ACEs on vulnerable children, such as nurse home visiting programs and early childhood programs, can have positive effects on outcomes that shape developmental trajectories (Barnett, 1995). Although substantial research has investigated poverty and exposure to ACEs, or programs that offset the negative impact of ACEs, relatively little is known about HUD-assisted children specifically. One might expect the outcomes for HUD-assisted children are similar to those of other low-income children. Alternatively, a second hypothesis is that program beneficiaries are drawn from a particularly disadvantaged population and that some forms of assistance may concentrate them in harmful ways. Still a third hypothesis is that the provision of housing assistance buffers children from the impact of poverty and other ACEs on developmental outcomes.

HUD is interested in better understanding the trajectories and differences in outcomes of HUD-assisted children compared to low-income, similarly disadvantaged children. HUD is also interested in whether differential exposure to both adverse events and opportunity among those who HUD serves has differential impacts on outcomes. For example, to better assess health outcomes among HUD-assisted individuals, HUD has linked its administrative data with National Center on Health Statistics (NCHS) National Health Information Survey (NHIS), and National Health and Nutritional Examination Survey (NHANES) data to for both children and adults. To better understand child trajectories among HUD-assisted children, HUD wishes to explore research questions using HUD administrative data linked with other longitudinal and cross-sectional data sets.

### iii. Eligible Activities

Required activities include:

- (1) Development of a research design;
- (2) Development of a management and work plan;
- (3) Development of a Quality Control Plan;
- (4) Performing data collection and analysis;
- (5) Submission of all reports and deliverables to the Government Technical Representative GTR, including any programming code used to analyze data;
- (6) Completing all materials required for OMB Paperwork Reduction Act approval, if applicable;
- (7) Completing Privacy Impact Assessment and System of Records Notice documentation, if applicable;

(8) Obtaining Institutional Review Board approval, if applicable.

Other Eligible Activities could include:

(9) Development of short papers or policy briefs on specific topics or describing analysis activities;

(10) As a means of sharing knowledge, HUD encourages recipients to arrange for publication of report and findings in scientific or technical journals. HUD will hold publishing the final report for up to six months, or as negotiated with the GTR, to allow for publication in the journal of the recipients choosing. However, HUD is the owner of the report and the associated data.

#### iv. Data and Information Collection and Analysis

This set of activities would include carrying out the methods described in the research design, gathering existing data and/or administrative data on HUD's program participants, as well as collecting additional data using qualitative and/or quantitative methods that may be in-person, by mail, by phone, site visits, or via the Internet. If the research design and work plan identify circumstances requiring the use of incentive payments to achieve a satisfactory response rate, the recipient may use funds from this award to pay those incentive payments. The recipient would also undertake analysis of data to answer the research question(s).

HUD expects the applicant to explain whether access to the data in the future by other researchers would be consistent with the privacy of human subjects, and if so, what provision the applicant proposes to make for that access. Activities could include:

- Articulating research questions and explaining their significance;
- Preparing applications or paperwork required to access non-HUD administrative data, including the drafting of Data Use Agreements (DUAs) or Memorandums of Understanding (MOUs) as required by the administrators of the data sets needed for analysis;
- Merging, tabulating, analyzing, modeling, validating, graphing and presenting data from existing administrative data sources (including third-party sources, if applicable) and surveys (if applicable) to answer the questions as stated in the research design and work plan;
- Carrying out methods of data and information collection and analysis described in the research design.
- Collection of other relevant data, information and evidence, when applicable;

#### v. Deliverables

At a minimum, HUD expects the award recipient to produce the following deliverables:

(1) Management and Work Plan: The Management and Work Plan will depict the overall strategy for completing this research effort within the budget and time frame allotted, including a description of the research activities to be undertaken, the sequence of tasks, key milestone dates, and key staff engaging in each project



activity. A draft Management and Work Plan must be submitted with the application . After award HUD will provide feedback to the awardee, and final Management and the Work Plan must be submitted to HUD within two weeks of the receipt of HUD comments.

(2) Research Design: The Research Design will provide a detailed plan for technical aspects of the research, including research questions, hypotheses, data sources, data collection methods, data collection instruments (if applicable), and analysis methods. The Research Design must demonstrate how the proposed methodology, including the data collection and analysis strategy, will address the research questions and hypotheses proposed. A draft Research Design must be submitted with the application. After award, HUD will provide feedback to the awardee, and a final Research Design must be submitted to HUD within four weeks of the receipt of HUD comments.

(3) Quality Control Plan: A draft Quality Control (QCP) Plan shall be delivered within two weeks after grant award and the final QCP shall be submitted for approval of the GTR within six weeks of cooperative agreement award. Three copies of a comprehensive written QCP shall be submitted to the GTR and within five working days when changes are made thereafter. After acceptance of the QCP by the GTR, the Cooperative Agreement Award Recipient shall receive the GTR's acceptance in writing of any proposed change to its quality control system;

(4) Quarterly Progress Reports: Quarterly progress reports which provide detailed updates on the work conducted for the project during each quarter of the period of performance of the cooperative agreement.

(5) Interim Report: The Interim Report will be released near the midpoint of this project and provide a summary of the project up to that point. The Interim Report should be considered an opportunity to evaluate the state of the project. The exact deadline and content of the Interim Report will be decided between the GTR and the awardee.

(6) Final Report: The Final Report must summarize the work conducted over the course of the project, present the study objectives, data sources, analysis methods, and results. The Final Report is the key deliverable of the study, and must serve as a stand-alone document that meets the overall objective of this project. The Final Report should be edited and prepared for publication in accordance with HUD's Guidelines for Preparing a Report for Publication ([https://www.huduser.gov/portal/About/GTR\\_Guide1.pdf](https://www.huduser.gov/portal/About/GTR_Guide1.pdf)).

(7) One to two-page plain language summary appropriate for non-technical audience;

(8) All other reports described above in the Eligible Activities section;

(9) Merged data files, to the extent possible based on third-party licensing or use agreements, and Federal data sharing Privacy Law;

(10) All programming code used to run analyses; and

(11) A comprehensive data security plan.

**b. Project 2: The Social and Economic Impacts of the Community Development Block Grant Program** (HUD may award one or more cooperative agreements, with the total of all awards not to exceed \$500,000).

i. Research Objectives

The objective of this project is to develop a better understanding of the effects of specific Community Development Block Grant (CDBG) eligible activities. Through this project, HUD seeks to identify objective, quantifiable outcome measures that can be attributed to specific CDBG activities in order to inform policymakers at the federal, state, and local levels.

The President's FY 2018 Budget proposes to eliminate funding for CDBG, in part due to the lack of evidence on the program's efficiency and impact on improving communities. Due to the program's flexibility, evaluation of the CDBG program as a whole is inherently challenging (see Methodology Considerations below). Instead this project aims to support innovative new methods and data sources that focus on the social and economic impact of specific CDBG eligible activities (e.g. housing rehabilitation or demolition, public infrastructure improvements, etc.) If Congress enacts the proposed Budget, states and local governments would be forced to identify other funding sources or cut back CDBG-funded programs. However, regardless of the funding changes, this project may assist states and local governments in making more strategic investments in effective community development activities.

ii. Background

The CDBG program was created in 1974 to provide funding to local and state jurisdictions in support of creating decent housing and a suitable living environment for their communities. The program provides funding in support of three national goals: benefit to low- and moderate-income persons, the prevention and elimination of slums and blight, and meeting an urgent need (such as any immediate threat to the health or welfare of the community). There are 26 eligible activities, including housing activities, economic development, infrastructure, planning, public facilities, public services, etc. A complete list of eligible activities can be found in the Guide to National Objectives (U.S. Department of Housing and Urban Development, 2017a). The amount of funding used for the various activities is also available online (U.S. Department of Housing and Urban Development, 2017b).

Some of the activities that receive the most funding include single-unit residential rehabilitation (12% of FY 2016 total), water and sewer improvements (11%), various types of public services (11%), street improvements (7%), public facilities (4%), code enforcement (3%), parks and recreational facilities (3%), financial assistance to businesses (3%), property acquisition (2%), and demolition (2%).

iii. Previous Research

There have been several analyses of the impact of federal funding programs aimed at neighborhood improvements. A project funded by HUD suggested that geographically targeted investments of CDBG funds were more likely to have a meaningful impact (Walker et al., 2002; Galster et al., 2004). Walker et al. (2002) took an additional step in their analysis and used qualitative interviews to confirm or refute the conclusions drawn by

the model they developed. Galster et al. (2004) applied the methodology developed in the prior analyses to look at a targeted use of CDBG funds in Richmond, Virginia (Galster et al., 2006). Pooley (2014) then used this methodology to examine the impact of CDBG funding in Philadelphia and found that if CDBG funding is “deployed at the right scale in a select number of locations, program dollars can have a domino effect for nearby properties”.

There has been some research of more specific elements of the CDBG program. An evaluation of the Section 108 program was published in 2012 (Econometrica, 2012). Section 108 allows for loans to be made using CDBG funding as collateral and is a powerful tool for leveraging private funding when the CDBG funds from a single year are inadequate. The authors found that the funding that Section 108 brought was extremely important in bringing projects to life.

Other federal programs for neighborhood-level economic development have also been analyzed. A legislatively mandated evaluation of the Neighborhood Stabilization Program’s second iteration (NSP2) found that “the relatively low intensity of NSP2 treatment likely contributed to quite limited average impacts of NSP2 on housing market outcomes” (Spader et al., 2015). The authors conclude that the impacts of the program on property values and other measures of economic stabilization would have been enhanced by more targeted usage.

The outcomes under consideration in these studies of CDBG impacts are focused largely on econometric analysis of quantitative outcomes such as increases in mortgage originations, property valuation, and other easily quantified indicators. The projects that this funding is intended to support should build off the existing literature, with innovative new methods and data sources for measuring the impact of specific CDBG eligible activities.

#### iv. Eligible Activities

In support of this project’s objectives, applicants will undertake a variety of research and evaluation activities, including but not limited to those outlined below. HUD considers the activities listed below to be essential in creating and completing the project in a manner that achieves its objectives. HUD anticipates limited funding for travel expenses and surveys.

- (1) Developing a work plan, which should include staffing assignments, task budgets, and a timeline of key activities;
- (2) Conducting a literature review;
- (3) Consulting with outside experts and stakeholders;
- (4) Developing a research design, which should include research questions, hypotheses, data sources, data collection methods, data collection instruments (if applicable), and analysis methods;
- (5) Completing all materials required for OMB Paperwork Reduction Act approval, if applicable.
- (6) Completing Privacy Impact Assessment and System of Records Notice documentation, if applicable;

- (7) Obtaining Institutional Review Board approval, if applicable;
- (8) Collection or acquisition of data in accordance with the research design;
- (9) Data analysis, which could include basic descriptive statistics, advanced statistical analysis, geospatial analysis, and data visualization;
- (10) Producing written reports to summarize findings;
- (11) Providing briefings to explain findings to HUD staff and other stakeholders. HUD expects the applicant to explain whether access to the data in the future by other researchers would be consistent with the privacy of human subjects, and if so, what provision the applicant proposes to make for that access.

#### v. Methodological considerations

In developing a methodology, applicants should take into consideration HUD's Program Evaluation Policy statement, published December 6, 2016, at 81 Federal Register 87949.

Certain aspects of the CDBG program makes it notoriously difficult to evaluate. HUD is aware of the following methodological challenges which applicants will be expected to address in their proposal.

(1) Data: The biggest impediment to evaluating CDBG has historically been the availability of data, despite the fact that HUD tracks about 100 distinct categories of activities. To evaluate a program, one needs adequate data on the activities funded by that program—specifically, the precise nature of the activity, its location (or its intended beneficiaries, if the program is not inherently place-based), the scope of the activity (such as the amount of funding), and the time period during which the activity took place (or at least the date on which it was completed). While reporting systems have improved in recent years to capture more useful data, much of the data is still manually reported by the grantees and subject to user-error and other variations. It can also be difficult to obtain adequate data on outcomes that might be affected by CDBG, such as property values, crime, quality of life, or individual outcomes.

Fortunately, in recent years, quality data has become more readily available. On the input side, some CDBG recipients now have databases that track activities and include information such as the precise location of the activity, the time period of the activity, and the amount of funding expended. Outcome data have also become more readily available. Property values can be examined using local real estate records (which are increasingly digitized and publicly available), or through home price indexes (which are now available at geographic levels as small as the ZIP code). HUD has partnered with the US Postal Service to produce quarterly data tracking residential and commercial vacancy at the neighborhood level. Local police departments often provide crime data publicly. Social service providers often use client databases to track the individuals they assist. The Census Bureau's American Community Survey now provides annual updates that can reveal important changes in neighborhood characteristics. Data sources such as these and others, depending on the type of CDBG activity under study, may prove useful to researchers evaluating CDBG.

Program offices at HUD will make data available to the research team where possible. However, HUD cautions that applicants should not rely solely on HUD data to

represent CDBG investments. HUD expects applicants to independently identify data sources that will support their proposed research and appropriately describe any linking between the data that may be required. HUD expects that these outcome measures will be quantifiable and could be monetized to allow benefit-cost analysis. Limited qualitative data may also provide useful context, as in Walker et al. 2002.

Applicants will likely require data from CDBG recipients and may also need to consult recipient staff to understand the objectives of activities. If local support is required for data access, applicants are encouraged to solicit a letter of support from any CDBG recipient(s) whose activities will be evaluated; in that letter of support, the CDBG recipient should commit to supporting independent and impartial research and also affirm the availability of CDBG activity data that are reliable and precise enough to support the proposed research.

(2) Generalizability: A second substantial challenge for any effort to evaluate CDBG has been the diversity of activities funded by the program. As discussed above (see: Background section), CDBG can be used for a wide variety of activities, and those decisions are made by local government officials. Furthermore, the context in which those activities are carried out also varies widely (for example, recipients have different levels of capacity and the cities they work differ from each other along several dimensions, including degree of urbanization, poverty rates, local regulations, etc.). It is difficult to identify a sample of CDBG activities that represent the program as a whole. Even if such a sample could be studied, it would gloss over important variation within the program.

For this NOFA, HUD does not expect proposals that would produce findings generalizable to the CDBG program as a whole, although we are open to proposals with innovative methods that could test program-wide impacts. HUD would be willing to fund research focused on a specific place, or a specific activity (or set of similar activities). The applicant should, however, be able to explain the extent to which their research would be representative of the CDBG program as a whole. The applicant should be able to explain how impacts of the particular activity or activities being studied in a small number of jurisdictions might or might not generalize to other CDBG activity elsewhere.

Generalization also applies to the methods used in this analysis. HUD would also expect any method of analysis be replicable by other researchers in the future.

(3) Scale: CDBG funds are often used as a source of leverage, layered with other funds. Some CDBG recipients deploy CDBG resources in a geographically dispersed manner. CDBG funding for any particular activity or location may be small, especially relative to the size of the problems being addressed. This has been addressed in previous research and appears to be common.

This presents several challenges. Researchers will need to consider whether to focus their efforts on CDBG activities that meet a certain threshold; whether CDBG should be examined in isolation or in conjunction with other related funding sources; and whether the proposed statistical methods will be sufficient to measure small changes in the proposed outcome variable(s).

(4) Time: Since CDBG entitlement recipients have received funding every year, there is a continual ebb and flow of funding to locations and activities. Researchers will need to consider how to define the temporal dimension of the CDBG activities they propose to study, especially given the fact that outcomes affected by CDBG may take time to materialize. Examining the use of CDBG resources in a particular year may produce misleading findings, if the research does not account for the use of CDBG resources for the same program or same neighborhood in prior years. In addition, there may be multiple activities in the same community that are similar-but-distinct that may have a collective influence on outcome measures. Applicants should ensure that their proposed analysis period is appropriate for defining the nature of CDBG investment and for measuring outcomes.

(5) Endogeneity: One of the greatest challenges in any evaluation is identifying a causal relationship between an activity and an outcome. This certainly applies to the CDBG program. CDBG activities are deliberately selected and designed by grantee staff. These staff may select activities or locations that they believe are primed for success—such as funding housing rehabilitation in a neighborhood that is currently impoverished, but slated to receive a major investment such as a new transit station. Alternatively, they may deliberately invest in places with the most intractable problems—neighborhoods with persistent crime, or a history of racial segregation. This selection process may be a key mediating factor in the success (or failure) of any particular CDBG activity. Selection bias is also a challenge for activities designed to help individuals (such as a job training program). Those individuals who choose to participate in a program may have unmeasurable characteristics that make them more or less likely to succeed in that program. Through this NOFA, HUD hopes to fund research that uses rigorous methods to address challenges of selection bias and endogeneity.

#### vi. Deliverables

At a minimum, HUD expects the award recipient to produce the following deliverables. The GTR and/or other HUD staff as assigned by the GTR will work closely with the awardee on these deliverables. HUD expects to have an opportunity to review and comment to ensure that they meet the project objectives.

(1) Management and Work Plan: The Management and Work Plan will outline the overall strategy for completing the research within the budget and timeframe allotted. It will describe activities to be undertaken, assign staff, and provide a schedule of key tasks. A draft Management and Work Plan must be submitted with the application. After award, HUD will provide feedback to the awardee, and a final Management and Work Plan must be submitted to HUD within two weeks of the receipt of HUD comments.

(2) Research Design: The Research Design will provide a detailed plan for technical aspects of the research, including research questions, hypotheses, data sources, data collection methods, data collection instruments (if applicable), and analysis methods. The Research Design must demonstrate how the proposed methodology, including the data collection and analysis strategy, will address the research questions and hypotheses proposed. A draft Research Design must be submitted with the application.

After award, HUD will provide feedback to the awardee, and a final Research Design must be submitted to HUD within four weeks of the receipt of HUD comments.

(3) **Quality Control Plan:** A Draft QCP which addresses all potential points of a Quality Control Lapse (see definition below). shall be delivered within two weeks after grant award and the final QCP shall be submitted for approval of the GTR within six weeks of grant award. Three copies of a comprehensive written QCP shall be submitted to the GTR and within five working days when changes are made thereafter. After acceptance of the QCP by the GTR, the Grantee shall receive the GTR's acceptance in writing of any proposed change to its quality control system.

(4) **Quarterly Progress Reports:** Quarterly Progress Reports will document activities completed in the most recent reporting period, planned activities for the upcoming reporting period, and budget expenditures by line item (including hours worked for specific staff). Progress reports must be submitted quarterly and should be aligned with the submission of drawdown requests.

(5) **Interim Report:** The Interim Report will be released near the midpoint of this project and provide a summary of the project up to that point. The Interim Report should be considered an opportunity to evaluate the state of the project. The exact deadline and content of the Interim Report will be decided between the GTR and the awardee.

(6) **Final Report:** The Final Report must summarize the work conducted over the course of the project, present the study objectives, data sources, analysis methods, and results. The Final Report is the key deliverable of the study, and must serve as a stand-alone document that meets the overall objective of this project. The Final Report should be edited and prepared for publication in accordance with HUD's Guidelines for Preparing a Report for Publication ([https://www.huduser.gov/portal/About/GTR\\_Guide1.pdf](https://www.huduser.gov/portal/About/GTR_Guide1.pdf)).

## **2. Changes from Previous NOFA.**

Two new projects are included in this NOFA:

a. **Project 1: Understanding Child Trajectories in HUD-Assisted Housing Studies** (HUD may award one or more cooperative agreements, with the total of all awards not to exceed \$450,000).

b. **Project 2: The Social and Economic Impacts of the Community Development Block Grant Program** (HUD may award one or more cooperative agreements, with the total of all awards not to exceed \$500,000).

### **3. Definitions.**

#### **a. Standard Definitions**

Analysis of Impediments to Fair Housing Choice (AI) is a review of impediments or barriers that affect the rights related to fair housing choice, and pertains to program participants in jurisdictions operating under a current Consolidated Plan and public housing agencies operating under a PHA Plan.

Assessment of Fair Housing (AFH) is the analysis undertaken pursuant to 24 CFR 5.154. AFH includes an analysis of fair housing data, an assessment of fair housing issues and contributing factors, the prioritization of contributing factors, and the identification of fair housing goals. It is conducted and submitted to HUD using the Assessment Tool. Entities obligated to prepare and submit an AFH are: (1) Jurisdictions and Insular Areas that are required to submit Consolidated Plans for the following programs: (i) The Community Development Block Grant (CDBG) program (see 24 CFR part 570, subparts D and I); (ii) The Emergency Solutions Grants (ESG) program (see 24 CFR part 576); (iii) The HOME Investment Partnerships (HOME) program (see 24 CFR part 92); and (iv) The Housing Opportunities for Persons With AIDS (HOPWA) program (see 24 CFR part 574); and (2) Public housing agencies (PHAs) receiving assistance under sections 8 or 9 of the United States Housing Act of 1937 (42 U.S.C. 1437f or 42 U.S.C.1437g).

Authorized Organization Representative (AOR) is the person authorized by the E-Biz point of contact in the System for Award Management to submit applications on behalf of the organization. The AOR is listed in item 21 on the SF-424.

Catalog of Federal Domestic Assistance (CFDA) is a directory of the various Federal programs, projects, services and activities that offer financial and non financial assistance and benefits to the American public. CFDA Number is the unique number assigned to each program, project, service or activity listed in the Catalog of Federal Domestic Assistance (CFDA).

Consolidated Plan is a document developed by states and local jurisdictions, which they complete by engaging in a participatory process to assess their affordable housing and community development needs and market conditions, and to make data-driven, place-based investment decisions with funding from formula grant programs. (See 24 CFR 91 for more information about the Consolidated Plan and related Annual Action Plan.)

Contract means a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used with respect to awards, subawards, and cooperative agreements subject to 2 CFR part 200 does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or subaward. (See 2 CFR 200.22 and 200.92.)

Contractor means an entity that receives a contract.

Deficiency – Deficiency is information missing or omitted within a submitted application.



Deficiencies typically involve missing documents, information on a form, or some other type of unsatisfied information requirement (e.g., an unsigned form, unchecked box, etc.). Depending on specific criteria, deficiencies may be either curable or non-curable.

- Curable Deficiency – Applicants may correct a curable deficiency with timely action. To be curable the deficiency must:
  - Not be a threshold requirement;
  - Not influence how an applicant is ranked or scored versus other applicants; and
  - Be remedied within the time frame specified in the notice of deficiency.
- Non-Curable Deficiency – An applicant cannot correct a non-curable deficiency after the submission deadline. Non-curable deficiencies are deficiencies that if corrected would change an applicant's score or rank versus other applicants. Non-curable deficiencies may result in an application being marked ineligible, or otherwise adversely affect an application's score and final determination

DUNS Number is the nine-digit identification number assigned to a business or organization by Dun & Bradstreet and provides a means of identifying business entities on a location-specific basis. Requests for a DUNS number can be made by visiting the Online DUNS Request Portal.

Eligibility Requirements – Eligibility requirements are those requirements that must be met for an application to be eligible for funding. Deficiencies in meeting an eligibility requirement may be categorized as either curable or non-curable.

Federal Awardee Performance and Integrity Information System (FAPIS) is a database that has been established to track contractor misconduct and performance.

Grants.gov is the website that serves as the Federal government's central portal for searching for and applying for grants throughout the Federal government.

Non-Federal Entity means a state, local government, Indian tribe, institution of higher education (IHE), or non-profit organization that carries out a Federal award as a recipient or subrecipient.

Pass-through Entity means a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program.

Personally identifiable information (PII), as defined in [Office of Management and Budget M-07-16](#), is any information which can be used to distinguish or trace an individual's identity, such as their name, social security number, biometric records, etc. alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc.

Point of Contact (POC) is the person who may be contacted with questions about the application submitted by the AOR. The point of contact is listed in item 8F on the SF-424.

Preferred Sustainability Status Communities (PSS) for the purposes of HUD's FY2017 funding competitions, are communities that have received PSS under HUD's FY2011 Sustainable

Communities Regional Planning Grant Program and/or HUD's FY2011 Community Challenge Planning Grant Program. [Click here for list](#). Promise Zones are federally-designated, high-poverty urban, rural and tribal communities where the Federal government will partner with and invest in communities to accomplish these goals: create jobs, leverage private investment, increase economic activity, expand educational opportunities, and reduce violent crime.

Promotores/Promotoras are Spanish-speaking Community Health Workers who work in their communities to reduce barriers to health services and make health care systems more responsive.

Recipient means a non-Federal entity that receives an award directly from HUD to carry out an activity under a HUD program.

Section 3 Business Concern means a business concern (1) that is 51 percent or more owned by Section 3 residents; or (2) of which at least 30 percent of permanent, full-time employees are currently Section 3 residents, or were Section 3 Residents within three years of the date of first employment with the business concern; or (3) that provides evidence of a commitment to subcontract over 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications in this definition.

Section 3 Residents means: 1) Public housing residents; or 2) Low and very-low income persons, as defined in 24 CFR 135.5, who live in the metropolitan area or non-metropolitan county where a HUD-assisted project for housing or community development is located.

Standard Form 424 (SF-424) is the Application for Federal Assistance Programs required by discretionary grant programs.

Subaward means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a HUD program; but does not include an individual that is a beneficiary of such program. A subrecipient may also receive other Federal awards directly from a Federal awarding agency (including HUD).

System for Award Management (SAM), located at the website [sam.gov](http://sam.gov), is the official U.S. Government system that consolidated the capabilities of Central Contractor Registry (CCR), Excluded Parties List System (EPLS) and the Online Representations and Certifications Application (ORCA). Registration with [Sam.gov](http://sam.gov) is required for submission of applications via [grants.gov](http://grants.gov).

Threshold Requirement – Threshold requirements are a type of eligibility requirement. Threshold requirements must be met in order for an application to be reviewed. Threshold

requirements are not curable. Threshold requirements are listed in Section III.C.1. Threshold Requirements of this Program NOFA.

Applicants must ensure their application package addresses all threshold requirements. Please check your application carefully!

#### b. Program Definitions

Children, youth, and adolescents are natural persons aged 26 or younger. Researchers may focus on specific age categories based on discipline and/or research question.

Cooperative Agreements are defined as in 2 CFR 200.24 (<https://www.ecfr.gov/cgi-bin/retrieveECFR?n=se2.1>). In particular, a cooperative agreement is distinguished from a grant in that it provides for substantial involvement between the Federal awarding agency or pass-through entity and the non-Federal entity in carrying out the activity contemplated by the Federal award.

Fuzzy matching is a record linkage technique that uses numeric and alphanumeric fields such as first name, last name, date of birth, and address to link records across databases. Fuzzy matching often yields matches that may be less than 100% perfect. For the purpose of solicited proposals, HUD administrative data contains a number of fields that can be used for fuzzy linkage, including first name, last name, date of birth, address, and social security number. Therefore, any data source with a minimum of three of these fields can likely be matched with HUD administrative data.

HUD-Assisted Housing refers to housing where HUD provides rental subsidies to reduced rents for low-income tenants who meet program eligibility requirements. Assistance provided under HUD programs generally falls into three categories: public housing, tenant-based housing programs (Housing Choice Vouchers), and multifamily properties that are privately owned and project-based (e.g. Project-Based Section 8 and other Multifamily housing programs).

Research and Evaluation refers to systematic efforts to establish or confirm facts, develop or support scientific theories, as well as develop technical information that would have cross-program application to build useful knowledge for developing, implementing, and improving the efficiency and effectiveness of programs administered by HUD and state and local program participants. Research and evaluation projects examine current HUD programs and their operating environments to determine their effectiveness and to provide critical information for improving them. Program evaluation is critical to ensuring that HUD programs have desired impacts and deploy scarce resources cost-effectively. The research and evaluation completed under HUDRD will continue to strengthen HUD's capabilities in providing policy guidance and improving public accountability.

Research Team refers to all persons, named or unnamed, who have received or will receive compensation in whole or in part under the Direct Costs in the project budget.

Trajectories, for the purposes of this proposal, are defined as any length of time that can be used to estimate or predict how housing assistance programs influence long-term outcomes or disrupt normal functioning processes that can potentially lead to adverse long-term outcomes.

Quality Control Lapse refers to any failure by the grantee to produce accurate, reliable, timely, and clear results because of a deficiency in oversight, coordination, or communication within

the research team.

#### 4. Resources.

- [Grants.gov](#)
- [HUD Funds available](#)
- [Code of Conduct list](#)
- [SAM](#)
- [Dun & Bradstreet](#)
- [Do Not Pay](#)
- [FAPIS](#)

#### **B. Authority.**

This program is authorized by Section 501 of the Housing and Urban Development Act of 1970 (12 U.S.C. §1701z-1) and the Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2017 as included in the Consolidated Appropriations Act, 2017 (Public Law 115-31, enacted May 5, 2017).

## **II. Award Information.**

#### **A. Available Funds.**

**\$950,000** is available through this NOFA.

Additional funds may become available for award under this NOFA as a result of HUD's efforts to recapture unused funds, use carryover funds, or because of the availability of additional appropriated funds. Use of these funds is subject to statutory constraints. All awards are subject to the applicable funding restrictions described in the General Section and to those contained in this NOFA.

#### **B. Number of Awards.**

HUD expects to make approximately 2 awards from the funds available under this NOFA.

1. **Project 1: Understanding Child Trajectories in HUD-Assisted Housing** (HUD may award one or more cooperative agreements).
2. **Project 2: The Social and Economic Impacts of the Community Development Block Grant Program** (HUD may award one or more cooperative agreements).

### **C. Minimum/Maximum Award Information.**

Estimated Total Funding:	\$950,000
Minimum Award Amount:	\$100,000 Per Project Period
Maximum Award Amount:	\$500,000 Per Project Period

### **D. Period of Performance.**

Estimated Project Start Date:	02/05/2018
Estimated Project End Date:	02/04/2020
Length of Project Periods:	24-month project period with two 12-month budget periods
Length of Project Periods Explanation of Other:	

### **E. Type of Funding Instrument.**

Funding Instrument Type:	Cooperative Agreement
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### **F. Supplementation.**

## **III. Eligibility Information.**

### **A. Eligible Applicants.**

State governments  
County governments  
City or township governments  
Special district governments  
Independent school districts  
Public and State controlled institutions of higher education  
Native American tribal governments (Federally recognized)  
Public housing authorities/Indian housing authorities  
Native American tribal organizations (other than Federally recognized tribal governments)  
Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education  
Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education  
Private institutions of higher education  
For profit organizations other than small businesses  
Small businesses  
Others (see text field entitled "Additional Information on Eligibility" for clarification)

Additional Information on Eligibility:

Tribal Designated Housing Entities as defined by Section 4(22) of NAHASDA and Tribes as defined by Section 4(13) of NAHASDA are eligible to compete for, or receive, awards made under this announcement.

Individuals, foreign entities, and sole proprietorship organizations are not eligible to compete for, or receive, awards made under this announcement. HUD will not evaluate applications from ineligible applicants.

See also Section IV.B for necessary form and content information.

HUD does not award grants to individuals. HUD will not evaluate applications from ineligible applicants.

## **B. Cost Sharing or Matching.**

This Program does not require an applicant to leverage resources through cost sharing or matching.

## **C. Threshold Requirements.**

Applicants who fail to meet any of the following threshold eligibility requirements will be deemed ineligible. Applications from ineligible applicants will not be evaluated. See also Section I.A.3. Definitions.

1. Timely Submission of Applications – Applications submitted after the deadline stated within this NOFA and that do not meet the requirements of the grace period policy will be marked late. Late applications are deemed ineligible and will not be considered for funding. See also Section IV Application and Submission Information, part D. Application Submission Dates and Times.

2. Resolution of Civil Rights Matters. Outstanding civil rights matters must be resolved before the application deadline. Applicants who after review are confirmed to have civil rights matters unresolved at the application deadline will be deemed ineligible; the application will receive no further review, will not be rated and ranked, and will not receive funding.

a. Applicants having any of the charges, cause determinations, lawsuits, or letters of findings referenced in subparagraphs (1) – (5) that have not been resolved to HUD's satisfaction before or on the application deadline date are ineligible for funding. Such matters include:

(1) Charges from HUD concerning a systemic violation of the Fair Housing Act or receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of a substantially equivalent state or local fair housing law proscribing discrimination because of race, color, religion, sex, national origin, disability or familial status;

(2) Status as a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging a pattern or practice of discrimination or denial of rights to a group of persons raising an issue of general public importance under 42 U.S.C. 3614(a);

(3) Status as a defendant in any other lawsuit filed or joined by the Department of Justice, or in which the Department of Justice has intervened, or filed an amicus brief or statement of interest, alleging a pattern or practice or systemic violation of Title VI of the Civil

Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974, the Americans with Disabilities Act or a claim under the False Claims Act related to fair housing, non-discrimination, or civil rights generally including an alleged failure to affirmatively further fair housing;

(4) Receipt of a letter of findings identifying systemic non-compliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Section 109 of the Housing and Community Development Act of 1974; or the Americans with Disabilities Act; or

(5) Receipt of a cause determination from a substantially equivalent state or local fair housing agency concerning a systemic violation of provisions of a state or local law prohibiting discrimination in housing based on sexual orientation, gender identity, or lawful source of income.

b. HUD will determine if actions to resolve the charge, cause determination, lawsuit, or letter of findings taken before the application deadline date will resolve the matter. Examples of actions that may be sufficient to resolve the matter include, but are not limited to:

- Current compliance with a voluntary compliance agreement signed by all the parties;
- Current compliance with a HUD-approved conciliation agreement signed by all the parties;
- Current compliance with a conciliation agreement signed by all the parties and approved by the state governmental or local administrative agency with jurisdiction over the matter;
- Current compliance with a consent order or consent decree;
- Current compliance with a final judicial ruling or administrative ruling or decision; or
- Dismissal of charges.

## **D. Statutory and Regulatory Requirements Affecting Eligibility.**

### **1. Compliance with Non-discrimination and Related Requirements.**

Unless otherwise specified, these non-discrimination and equal opportunity authorities and other requirements apply to all Program NOFAs. Please read the following requirements carefully as the requirements are different among HUD's programs.

### **2. HUD- or Federal government-wide Requirements.**

a. Outstanding Delinquent Federal Debts – It is HUD policy, consistent with the purposes and intent of 31 U.S.C. 3720B and 28 U.S.C. 3201(e), that applicants with outstanding delinquent federal debt will not be eligible to receive an award of funds, unless:

- A negotiated repayment schedule is established and the repayment schedule is not delinquent, or
- Other arrangements satisfactory to HUD are made prior to the award of funds by HUD.

If satisfactory arrangements cannot be completed within 90 days of notification of selection, HUD will not make an award of funds to the applicant, and instead offer the award to the next eligible applicant. HUD may act earlier than the above stated 90 days to ensure, in HUD's determination, that the funds can be obligated in a timely manner. Applicants selected for funding, or awarded funds, must report any changes in status of current agreements covering federal debt. HUD may withhold funding, terminate an award, or seek other remedies from a grantee if a previously agreed-upon payment schedule has not been followed or a new agreement with the federal agency to which the debt is owed has not been signed.

b. Sufficiency of Financial Management System. HUD will not award or disburse funds to applicants that do not have a financial management system that meets Federal standards as described at 2 CFR 200.302. HUD may arrange for a survey of financial management systems for applicants selected for award who have not previously received Federal financial assistance, where HUD Program officials have reason to question whether a financial management system meets Federal standards, or for applicants considered high risk based on past performance or financial management findings.

c. Debarments and/or Suspensions – Under 2 CFR 2424, no award of Federal funds may be made to debarred or suspended applicants, or those proposed to be debarred or suspended from doing business with the Federal government.

d. False Statements – A false statement in an application is grounds for denial or termination of an award and possible punishment, as provided in 18 U.S.C. 1001.

e. Pre-selection Review of Performance. – If your organization has delinquent federal debt or is excluded from doing business with the Federal government, the organization may be ineligible for an award. In addition, before making a Federal award, HUD reviews information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), and the “Do Not Pay” website. HUD may consider other public sources such as newspapers, Inspector General or Government Accountability Office reports or findings, or other complaints that have been proven to have merit. Applicants may review and comment on any information in FAPIIS through SAM. HUD reserves the right to:

- Deny funding, or with a renewal or continuing award, consider suspension or termination of an award immediately for cause,
- Require the removal of any key individual from association with management or implementation of the award, and
- Make provisions or revisions regarding the method of payment or financial reporting requirements.

f. Mandatory Disclosure Requirement. Recipients or applicants must disclose in writing to the awarding program office at HUD, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award within ten days after learning of the violation. Recipients that have received a Federal award including the term and



condition outlined in Appendix XII to Part 200—Award Term and Condition for Recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in §200.338 Remedies for noncompliance, including suspension or debarment. (See also 2 CFR part 180, 31 U.S.C. 3321, and 41 U.S.C. 2313.)

g. Conducting Business in Accordance with Ethical Standards/Code of Conduct –

Before entering into an agreement with HUD, applicants selected for award must ensure an up-to-date copy of the organization's code of conduct, dated and signed by the Executive Director, Chair, or equivalent official, of the governing body of the organization has been submitted to HUD.

Codes of conduct must prohibit real and apparent conflicts of interest that may arise among officers, employees, or agents; prohibit the solicitation and acceptance of gifts or gratuities over minimal value by officers, employees, or agents for their personal benefit; and outline administrative and disciplinary actions available to remedy violations of such standards. (See 2 CFR 200.112 and 2 CFR 200.318.)

If the recipient has a parent, affiliate, or subsidiary organization, whether non-profit or for-profit, the recipient must also maintain written standards of conduct covering organizational conflicts of interest. "Organizational conflicts of interest" means that because of relationships with a parent, affiliate, or subsidiary organization, the recipient is unable, or appears to be unable, to be impartial in administering the award or serving as a pass-through-entity.

h. Conflict of Interest of Consultants or Technical Experts Assisting HUD – Consultants and technical experts who assist HUD in rating and ranking applications for funding under published FY 2017 Program NOFAs are subject to 18 U.S.C. 208, the federal criminal conflict-of-interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, consultants and technical experts who have assisted or plan to assist applicants with preparing applications for FY 2017 Program NOFAs may not serve on a selection panel and may not serve as a technical advisor to HUD. Anyone involved in rating and ranking FY 2017 Program NOFA applications, including departmental staff, experts and consultants must avoid conflicts of interest or the appearance of such conflicts. These individuals must also disclose to HUD's Office of General Counsel Ethics Law Division the following information, if applicable:

- How the selection or non-selection of any applicant under a FY 2017 Program NOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208, or
- How the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502

The consultant or technical expert assisting HUD must disclose this information before participating in any matter regarding an FY 2017 program NOFA. Applicants with questions regarding these provisions or concerning a conflict of interest, please call the Office of General Counsel, Ethics Law Division, at (202) 708-3815 (this is not a toll-free number). The phone

number above may also be reached by individuals who are deaf or hard of hearing, or who have speech disabilities, through the Federal Relay Services service at 1-800-877-8339.

i. . Prohibition Against Lobbying Activities. Applicants are subject to the provisions of Section 319 of Public Law 101-121, 31 U.S.C. 1352, (the Byrd Amendment) and 24 CFR part 87, which prohibit recipients of federal awards from using appropriated funds for lobbying the executive or legislative branches of the Federal government in connection with a specific award. All applicants must submit with their application the signed Certification Regarding Lobbying included in the Application download from Grants.gov. In addition, applicants must disclose, using Standard Form LLL (SF-LLL), “Disclosure of Lobbying Activities,” any funds, other than federally appropriated funds, that will be or have been used to influence federal employees, members of Congress, or congressional staff regarding specific grants or contracts. Federally-recognized Indian tribes and tribally designated housing entities (TDHEs) established by federally-recognized Indian tribes as a result of the exercise of the tribe’s sovereign power are excluded from coverage of the Byrd Amendment, but state-recognized Indian tribes and TDHEs established only under state law shall comply with this requirement. Applicants must submit the SF-LLL if they have used or intend to use non-federal funds for lobbying activities.

k. Consistency with the Consolidated Plan and Analysis of Impediments (AI)/Assessment of Fair Housing – Certain competitive Programs require applications to contain a certification of consistency with a HUD-approved Consolidated Plan. This certification means that the proposed activities are consistent with the jurisdiction’s strategic plan, and the location of the proposed activities is consistent with the geographic areas specified in the Consolidated Plan. The Consolidated Plan also includes the jurisdiction’s certification to affirmatively further fair housing which means, among other requirements, that the jurisdiction has conducted an AI/Assessment of Fair Housing. If a program NOFA requires a certification of consistency with the Consolidated Plan and you fail to provide the certification, and you do not cure the omission as a curable deficiency, HUD will not fund the application.

Under HUD’s regulations at 24 CFR 91.2(d), an applicant’s PHA Plan must include a certification by the appropriate state or local official that the PHA Plan is consistent with the applicable Consolidated Plan for the jurisdiction in which the PHA is located and must describe the manner in which the applicable contents of the PHA Plan are consistent with the Consolidated Plan.

#### **E. Program Specific Requirements.**

There are no program specific requirements for this announcement.

#### **F. Criteria for Beneficiaries.**

There are no specific criteria for beneficiaries for this announcement.

### **IV. Application and Submission Information.**

#### **A. Obtaining an Application Package.**

## **Instructions for Applicants**

You must download both the Application Instruction and the Application Package from [Grants.gov](https://www.grants.gov). To ensure you are using the correct Application Package and Application Instructions, you must verify that the CFDA Number and CFDA Description on the first page of the Application Package, and the Opportunity Title and the Funding Opportunity Number match the Program and NOFA to which you are applying.

The Application Package contains the Adobe forms created by Grants.gov. The Instruction download contains official copies of the General Section and Program NOFA, and forms necessary for a complete application. The Instruction download may include Microsoft Word, Microsoft Excel and additional Adobe Portable Document Format documents.

An applicant demonstrating good cause may request a waiver from the requirement for electronic submission. For example, a lack of available Internet access in the geographic area in which your business offices are located. Lack of SAM registration or valid DUNS is not deemed good cause. If you cannot submit your application electronically, you must ask in writing for a waiver of the electronic grant submission requirements. HUD will not grant a waiver if HUD does not receive your written request at least 15 days before the application deadline or if you do not demonstrate good cause. If HUD waives the requirement, HUD must receive your paper application before the deadline of this NOFA. To request a waiver and receive a paper copy of the application materials, you should contact:

Kinnard Wright

Phone: (202) 402-7495

Email: [Kinnard.d.wright@hud.gov](mailto:Kinnard.d.wright@hud.gov)

U.S. Department of Housing and Urban Development

Office of Policy Development and Research

Office of University Partnerships

451 7th Street S.W. Room 8226

Washington, DC 20410

[www.hud.gov](https://www.hud.gov)

## **B. Content and Form of Application Submission.**

To ensure that the correct Application Package and Application Instructions are used, applicants must verify that the CFDA Number and CFDA Description on the first page of the Application Package downloaded from Grants.gov, as well as the Funding Opportunity Title, and the Funding Opportunity Number match the Program and NOFA to which they are applying. You must verify that boxes 11, 12, and 13 on the SF-424 match the NOFA for which you are applying. If they do not match, you have downloaded the wrong Application Instruction and Application Package.

Submission of an application under the wrong CFDA and Funding Opportunity Number is not a curable deficiency and will result in your application being declared ineligible for funding.

## 1. Content.

Forms for your package include the forms outlined below:

Forms / Assurances / Certifications	Submission Requirement	Notes / Description
SF-424, Application for Federal Assistance (see General Section).		
Disclosure of Lobbying Activities (SFLLL), if applicable.		
Grant Application Detailed Budget Worksheet HUD-424CBW.		
HUD Applicant Recipient Disclosure Report (HUD) 2880 Applicant/Recipient Disclosure/Update Report	HUD will provide instructions to grantees on how the form is to be submitted.	HUD will provide instructions to grantees on how the form is to be submitted.
Acknowledgment of Application Receipt (HUD2993), if applicable	This form is applicable only to applications submitted on paper, following receipt of a waiver of electronic submission.	This form is not required but is available for applicants who want confirmation that their hard-copy application was received by HUD. The form must be submitted with the application, in accordance with the application submission instructions included in the waiver of electronic submission.

Additionally, your complete application must include the following narratives and non-form attachments.

- One-page application summary as described in Section IV.B.2.b below.
- Narrative statement addressing ratings factors.
- Appendix containing up to 5 resumes of key personnel.
- Appendix that lists the names of the firms for all of the subcontractors and consultants

with whom the applicant has entered into an agreement to participate in an award under this NOFA and a brief statement of each firm's qualifications.

- Appendix containing a list of references outlining the applicant's performance of recent (within five years) and relevant social science research or program evaluations.
- Budget submission (display of all anticipated costs during the 2-year performance period, including an indirect cost rate). See Section VI and the General Section for FY 2017 for more information on the budget setting process.
- Code of Conduct. Applicants selected for funding will be required to provide HUD with their written Code of Conduct if they have not previously done so and it is not recorded on the HUD website at: <http://www.hud.gov/offices/adm/grants/codeofconduct/cconduct.cfm>.
- Central Contractor Registration Requirement. See FY 2017 General Section.
- Debriefing. See FY 2017 General Section.

## **2. Format and Form.**

Narratives and other attachments to your application must follow the following format guidelines.

a. Narrative addressing rating factors should not exceed 25 pages. The narrative page limits do not include required forms, assurances and certifications, the appendix of participating firms and contractors, the appendix of resumes, the appendix of reference letters, the budget narrative, the abstract, and the one-page summary. The narrative must be formatted to fit an 8 1/2 by 11-inch page, double-spaced (information requirements), with one-inch margins, using standard Times New Roman 12-point font. Resumes are subject to a separate 20-page limit as follows:

- i. the application shall include resumes for no more than 5 key personnel; and
- ii. no individual resume shall exceed 4 pages. Submitting pages in excess of page limits will not disqualify an applicant; however, HUD will not consider the information on any excess pages. This exclusion may result in a lower score.

b. One-Page Application Summary needs to include:

- i. A brief description of the proposed research and/or evaluation project; and
- ii. Provide funding request in whole dollar amount. The amount requested should be based on the scope of the project, personnel costs, other direct costs, as well as administrative costs, etc.

## **C. System for Award Management (SAM) and Dun and Bradstreet Universal Numbering System (DUNS) Number.**

### **1. SAM Registration Requirement**

Applicants must be registered with SAM before submitting their application. In addition, applicants must maintain an active SAM registration with current information at all times when they have an active Federal award or an application or plan under consideration by HUD.

## **2. DUNS Number Requirement.**

Applicants must provide a valid DUNS number, registered and active at SAM, in the application. DUNS numbers may be obtained for free from [Dun and Bradstreet](#).

## **3. Requirement to Register with Grants.gov.**

Anyone planning to submit grant applications on behalf of an organization must register at Grants.gov and be approved by the EBiz Point of Contact in SAM to submit applications for the organization.

Registration for SAM and Grants.gov is a multi-step process and can take four (4) weeks or longer to complete if data issues arise. Applicants without a valid registration cannot submit an application through Grants.gov. Complete registration instructions and guidance are provided at [Grants.gov](#). See also Section IV.B for necessary form and content information.

## **D. Application Submission Dates and Times.**

The application deadline is 11:59:59 p.m. Eastern time on **10/15/2017**. Applications must be received no later than the deadline.

Submit your application to [Grants.gov](#) unless a waiver has been issued allowing you to submit your application in paper form. Instructions for submitting your application to [Grants.gov](#) are contained in the Application Package you downloaded from [Grants.gov](#). Instructions for submitting your paper application will be contained in the waiver of electronic submission.

Applications under HUD's Continuum of Care (CoC) grant program are an exception to the submission requirements detailed in the previous paragraph. Applications for that grant program are submitted through HUD's e-snaps system.

"Received by [Grants.gov](#)" means the applicant received a confirmation of receipt and an application tracking number from [Grants.gov](#). [Grants.gov](#) assigns an application tracking number and date- and time-stamps each application upon successful receipt by the [Grants.gov](#) system. A submission attempt that does not result in confirmation of receipt and an application tracking number is not considered received by [Grants.gov](#).

Applications received by Grants.gov must be validated by [Grants.gov](#) in order to be received by HUD. "Validated by Grants.gov" means the application has been accepted and was not rejected with errors. You can track the status of your application by logging into Grants.gov, selecting "Applicants" from the top navigation, and selecting "Track my application" from the dropdown list. If the application status is "rejected with errors," you must correct the error(s) and resubmit the application before the 24-hour grace period ends. Applications in "rejected with errors" status after the 24-hour grace period expires will not be received by HUD. Visit Grants.gov for a complete description of processing steps after submitting an application. To quickly check the status of your application:

- Go to [www.grants.gov](http://www.grants.gov).
- Under the APPLICANTS tab on the Home page header, select [Track My Application](#).
- In the text box provided, enter your Grants.gov application tracking number and click on the red Submit Application Tracking Numbers button. If the status is rejected with errors, you can get more information by logging in to Grants.gov with the username and password for the AOR account used to submit the application.

HUD strongly recommends Applications be submitted at least 48 hours before the deadline and during regular business hours to allow enough time to correct errors or overcome other problems.

**Note:** Now you can verify the contents of your submitted application to confirm Grants.gov received everything you intended to submit. To verify the contents of your submitted application:

- Go to [www.grants.gov](http://www.grants.gov).
- On the top, right corner, click on the LOGIN link.
- Under the APPLICANT tab, enter the username and password for the AOR account used to submit the application and click on the LOGIN button.
- If your organization has Standard AOR Access Level, please click on the CHECK MY APPLICATION STATUS link on the left. If your organization has Expanded AOR Access Level, please click on the CHECK APPLICATION STATUS FOR ORGANIZATION link.
- Select SEARCH BY: ALL and click on the SEARCH button.
- Click on the submission you wish to download to highlight it.
- Click on the DOWNLOAD APPLICATION button.
- You will be prompted to OPEN or SAVE a ZIP file. Click on the button for the option of your choice.

Please make note of the associated tracking number as it will be referenced by the Grants.gov Help Desk. Make note of the ticket number in case you need help from grants.gov.

HUD may extend the application deadline for any program if Grants.gov is offline or not available to applicants for at least 24 hours immediately prior to the deadline date, or the system is down for 24 hours or longer and impacts the ability of applicants to cure a submission deficiency within the grace period.

HUD may also extend the application deadline upon request if there is a presidentially-declared disaster in the applicant's area.

In the event of either of these events, HUD will post a notice on its website that establishes the new, extended deadline for the affected applicants. HUD will also include the fact of the extension in the program's Notice of Funding Awards that is required to be published in the Federal Register.

In determining whether to grant a request for an extension based on a presidentially-declared disaster, HUD will consider the totality of the circumstances including the date of an applicant's extension request (how closely it followed the basis for the extension), whether other applicants in the geographic area are similarly affected by the disaster, and how quickly power or services are restored to enable the applicant to submit its application.

PLEASE NOTE: Busy servers, slow processing, or large file sizes, improper registration or password issues are not valid circumstances to extend the deadline dates or the grace period.

#### **1. Amending or Resubmitting an Application.**

Before the submission deadline, you may amend an application that has been validated by Grants.gov by resubmitting a revised application containing the new or changed material. The resubmitted application must be received and validated by grants.gov by the applicable deadline. If HUD receives an original and a revised application for a single proposal, HUD will evaluate only the last submission received by Grants.gov before the deadline.

#### **2. Grace Period for Grants.gov Submissions.**

If your application is received by Grants.gov before the deadline, but is rejected with errors, you have a grace period of 24 hours after the application deadline to submit a corrected application that is received and validated by Grants.gov. The date and time stamp on the Grants.gov system determines the application receipt time. Any application submitted during the grace period that is not received and validated by grants.gov will not be considered for funding. There is no grace period for paper applications.

#### **3. Late Applications.**

An application received after the Program NOFA deadline date that does not meet the Grace period requirements will be marked late and will not be received by HUD for funding consideration. Improper or expired registration and password issues are not causes that allow HUD to accept applications after the deadline.

#### **4. Corrections to Deficient Applications.**

Except as provided by the electronic submission grace period described in this NOFA, HUD may not consider any information that applicants may want to provide after the application deadline. HUD may not seek or consider clarification of application items or responses that improve the substantive quality of an application or which correct deficiencies which are in whole or part of a rating factor, including items that impact preference points. HUD may contact the applicant to clarify other items in its application. In order not to unreasonably exclude applications from being rated and ranked where there are curable deficiencies, HUD will uniformly notify applicants of each curable deficiency. A curable deficiency is an error or oversight which, if corrected, would not alter, in a positive or negative fashion, the review and rating of the application. Examples of curable (correctable) deficiencies include inconsistencies in the funding request, failure to submit the proper certifications, and failure to submit an application that contains a signature by an official able to make a legally binding commitment on behalf of the applicant. These examples are non-exhaustive.

When HUD identifies a curable deficiency, HUD will notify the authorized representative in



item 21 of the SF-424 describing the curable deficiency. The email notifications are the official notification of the need to cure a curable deficiency. Each applicant must provide accurate email addresses for receipt of these notifications and must monitor their email accounts to determine whether a deficiency notification has been received. The applicant must carefully review the request for cure of a curable deficiency and must provide the response in accordance with the instructions contained in the deficiency notification.

Applicants must email corrections of curable deficiencies to [applicationsupport@hud.gov](mailto:applicationsupport@hud.gov) within the time limits specified in the notification. The time allowed to correct deficiencies will not exceed 14 calendar days or be less than 48 hours from the date of the email notification. The start of the cure period will be the date stamp on the email sent from HUD (or GrantSolutions). If the deficiency cure deadline date falls on a Saturday, Sunday, Federal holiday, or other day when HUD's Headquarters offices in Washington, DC, are closed, then the applicant's correction must be received on the next business day that HUD Headquarters offices in Washington, DC are open.

The subject line of the email sent to [applicationsupport@hud.gov](mailto:applicationsupport@hud.gov) must state: "Technical Cure" and include the Grants.gov application tracking number (e.g., Subject: Technical Cure - GRANT123456). If this information is not included, HUD cannot match the response with the application under review and the application may be rejected due to the deficiency.

Corrections to a paper application must be sent in accordance with and to the address indicated in the notification of deficiency. HUD will treat a paper application submitted in accordance with a waiver of electronic application that contains the wrong DUNS number as having a curable deficiency. Failure to correct the deficiency and meet the requirement to have a DUNS number and active registration in SAM will render the application ineligible for funding.

#### **E. Intergovernmental Review.**

This program is not subject to Executive Order 12372, Intergovernmental Review of Federal Programs.

#### **F. Funding Restrictions.**

An organization may not conduct research or an evaluation of itself.

HUD will determine whether the salary rates are reasonable, customary for the skill set provided and the tasks to be conducted, and in accordance with federal legal requirements.

#### **Indirect Cost Rate.**

Indirect Cost Rate: No restrictions, applicants may use their negotiated rate or the de minimis rate (10% of Modified Total Direct Costs).

Non-governmental organizations: If you are using a negotiated indirect cost rate, your application must clearly state the approved rate and distribution base and include a letter or

other documentation from the cognizant agency showing the approved rate. If your organization has never had an indirect cost rate and wishes to use the de minimis rate, your application must clearly state you intend to use the de minimis 10% of Modified Total Direct Costs (MTDC).

Governmental organizations: If your organization has a negotiated indirect cost rate, your application must include the rate and a letter or other documentation from the cognizant agency showing the negotiated rate. If your organization has prepared and maintains documentation supporting an indirect rate proposal but has not negotiated approval of the rate, your application's budget narrative must include the rate and applicable distribution base.

## **G. Other Submission Requirements.**

### **1. Discrepancies between the NOFA on Grants.gov and Other Documents.**

The Program NOFA posted at the Grants.gov website is the official document HUD uses to solicit applications. Applicants are advised to review their application submission against the requirements in the posted Program NOFA. If there is a discrepancy between the Program NOFA posted on Grants.gov and other information provided in any other copy or version or supporting documentation, the posted Program NOFA located at [www.Grants.gov](http://www.Grants.gov) prevails. If discrepancies are found, please notify HUD immediately by calling the program contact listed in the Program NOFA. HUD will post any corrections or changes to a Program NOFA on the Grants.gov website. Applicants must enroll an email address at the application download page to receive an e-mail alert from Grants.gov in the event the opportunity is changed.

### **2. Application Certifications and Assurances.**

Applicants signing the SF424 cover page either through electronic submission or in paper copy submission (for those granted a waiver) affirm that the certifications and assurances associated with the application are material representations of the facts upon which HUD will rely when making an award to the applicant. If it is later determined that the signatory to the application submission knowingly made a false certification or assurance or did not have the authority to make a legally binding commitment for the applicant, the applicant may be subject to criminal prosecution, and HUD may terminate the award to the applicant organization or pursue other available remedies. Each applicant is responsible for including the correct certifications and assurances with its application submission, including those applicable to all applicants, those applicable only to federally-recognized Indian tribes, and those applicable to applicants other than federally-recognized Indian tribes. All program-specific certifications and assurances are included in the program Instructions Download on Grants.gov.

### **3. Lead Based Paint References**

Not Applicable

## **V. Application Review Information.**

## **A. Review Criteria.**

### **1. Rating Factors.**

HUD will rate applications for the two projects listed in section I.B, Project Descriptions, above, using the rating factors for the project being applied for, below.

#### **a. Project 1: Child Trajectories in HUD-Assisted Housing** **Maximum Points: 100**

##### **i. Rating Factor 1: Need for the Research (Maximum Points: 10)**

Minimum Points needed for funding consideration is 5 out of 10 possible maximum points for this Rating Factor

The applicant should discuss how the proposed research will contribute to HUD's understanding of trajectories of children in HUD-assisted housing. Specifically, the project narrative should discuss the extent to which the proposed research would contribute to the field. Applicants will be assessed based on the extent to which the project would explore policy-relevant research questions and provide new evidence about the effect of living in HUD-assisted housing on children.

##### **ii. Rating Factor 2: Organizational Capacity and Experience and Key Personnel (Maximum Points: 35)**

Minimum Points needed for funding consideration is 25 of 35 possible maximum points for this Rating Factor.

###### **(1) Recent Experience and Performance (Maximum 20 points).**

We will evaluate your organization's past performance based on your descriptions of other recent (within the past 5 years) research or data projects that were fully completed and demonstrate your organization's ability to conduct the applicable functions. At a minimum, these projects must be comparable in size, scope and complexity to the proposed work.

For each recent project, applicants should provide:

- (a) A statement of the objective of the project;
- (b) A description of the research/evaluation or data analysis tasks performed that would be relevant for your proposed project;
- (c) List of research questions the project sought to answer and the answers the project provided (or, if the project is still underway, how the research questions are being answered);
- (d) A synopsis of how the work was conducted by the applicant, including the number of hours involved, data collected, methods of collection, and response rate, if applicable, and the total cost of the engagement;
- (e) The names and contact information for the organizations and roles of up to 5 key personnel who worked on the project and who are proposed for this project;

(f) A list of written products.

Note: Past performance will be verified with third-party references, including GTRs/COTRS, GTMs and contract officers.

(2) Key Personnel (Maximum 15 points).

For the purposes of responding to this sub-factor, 'key personnel' is defined as the applicant's in-house staff, subcontractors and/or consultants for whom a contract or agreement already exists, and who are expected to actually be tasked with developing and conducting the work. To be competitive, you must demonstrate the ability to assemble a skilled research and development team to undertake project tasks. Applicants should include in their proposed research and development team people with expertise in performing the tasks required by the management and research plan.

Provide a list of key team members (up to 5) and their roles in the management and/or implementation of this project; and for each member describe their:

- (a) Demonstrated experience to carry out their identified role in this project.
- (b) Proficiency in clearly and concisely communicating findings for a broad audience.
- (c) Subject matter expertise for the proposed research project.
- (d) Experience working with and analyzing datasets including HUD administrative data for research;
- (e) Experience linking and matching of administrative data;
- (f) Expertise with industry leading data management software; and
- (g) Demonstrated expertise in devising useful performance metrics and index construction for government agencies

iii. Rating Factor 3: Soundness of Approach (Maximum Points: 50)

Minimum points needed for consideration is 40 of 50 possible points for this Rating Factor.

(1) Management Work Plan (Maximum 20 points).

Applicants must produce a management work plan for the project that is reasonable to undertake the work. The narrative should present a clear, practical, and forward-looking plan to deliver products. As such the narrative should include a staffing chart showing the allocation of resources for this project by presenting total person hours for each of the key personnel for each month by project task. The proposed work plan must clearly explain how the applicant will manage these activities, including the anticipated approach to:

- (a) Managing communication with PDR staff including providing quarterly status reports that include progress, accomplishments, and budget tracking;
- (b) Establishing a timeline for the completion of the research effort;
- (c) Ensuring overall project quality control with additional emphasis on implementing

- a comprehensive, effective and transparent data quality control plan;
- (d) Resolving issues or overcoming obstacles that may affect progress;
- (e) Identifying points in the schedule where a Quality Control Lapse is most likely to occur, and the impact on deliverables to HUD;
- (f) Identifying, and assigning appropriately skilled staff, allocating total person hours for the key personnel for each work task for each month of the proposed time period to conduct the work;
- (g) Identifying costs related to data sets to be used for the research;
- (h) Setting start dates, completion dates, and other major milestones for each task and sub-task. Where there are interdependencies among the tasks, the work plan shall indicate how each task will provide the necessary input to the other tasks.

(2) Research Design (Maximum 30 points).

The proposed research design will be rated on technical quality, clarity, creativity, thoroughness, specificity, and feasibility. The applicant is expected to include a preliminary research design that specifically addresses this project. The research design will be evaluated based on the following:

- (a) The description of the proposed research, including the project description, key research questions and identification of clear, testable hypotheses;
- (b) The adequacy and feasibility of the plan to undertake the analysis;
- (c) The statistical soundness of the procedures proposed for analyzing the data.
- (d) A description of survey data or administrative data that would be used;
- (e) A description of how data would be made available and results would be displayed.
- (f) The proposed approach for merging supplemental data with HUD administrative data.
- (g) The identification of potential challenges in carrying out the research and appropriate and creative solutions.

iv. Rating Factor 4: Performance Evaluation (Maximum Points: 5)

The applicant must describe the general methods and measures it will use to regularly monitor the effectiveness of its work. HUD has identified the broad control measures of what constitutes high quality research. The applicant must present a clear plan for regularly monitoring the effectiveness of its work on the following measures:

- (1) Quality of the data collection;
- (2) Quality of its data analysis;
- (3) Quality of its written products;
- (4) Quality of the proposed database structure; and
- (5) Timeliness of performance and effectiveness of cost control measures.

**b. Project 2: The Social and Economic Impacts of the Community Development Block Grant Program** **Maximum Points: 100**

**i. Rating Factor 1: Need for the Research (Maximum Points: 15)**

Minimum points needed for consideration is 10 of 15 possible points for this rating factor.

The applicant should discuss how the proposed research will contribute to HUD's understanding of the effectiveness of the CDBG program. Specifically, the project narrative should discuss the extant literature and methodological challenges identified by HUD, and explain how the proposed research would contribute to the field. Applicants will be assessed based on the extent to which the project would explore policy-relevant research questions and provide new evidence about the effects of the CDBG program or specific CDBG activities.

**ii. Rating Factor 2: Organizational Capacity and Experience and Key Personnel (Maximum Points: 40)**

Minimum Points needed for consideration is 30 of 40 possible points for this Rating Factor.

**(1) Recent experience and performance (Maximum 20 points).**

The applicant should identify at least two projects, completed within the past five years, that are comparable in size, scope, and complexity to the proposed project.

For each example of prior research, the applicant should provide:

(a) A statement of the objective of the project.

(b) A description of the research/evaluation tasks that are relevant for the proposed project.

(c) A synopsis of how the work was conducted, including the number of hours involved, data collected, methods of collection and analysis, and the total cost of the project.

Applicants will be assessed based on the extent to which the applicant organization has demonstrated success in research or program evaluations similar to the proposed project.

**(2) Key Personnel (Maximum 20 points).**

For the purposes of this sub-factor, "key personnel" is defined as the applicant's in-house staff, subcontractors, and/or consultants who will perform an essential management or technical function on the proposed project, and who could not be easily replaced by other staff with comparable expertise. The applicant must identify the key personnel for the proposed project; explain their role in the project; and demonstrate that they have the education, skills, and experience required to successfully complete the project. Resumés for key personnel should be included in an appendix and will not count against page limits. Applicants will be assessed based on the extent to which the proposed key personnel have demonstrated education, skills, and experience required to complete the proposed research.

**iii. Rating Factor 3: Soundness of Approach (Maximum Points: 40)**

Minimum points needed for consideration is 30 of 40 possible points for this Rating Factor.

(1) Research Design (Maximum 30 points).

Applicants must provide a draft research design that lays out the conceptual approach for the entire project. The draft research design must include:

- (a) Specific research questions and hypotheses that will be investigated by the proposed research.
- (b) Discussion of data sources required, the reliability and availability of those data sources, strategies for obtaining required data, and methods for analyzing the data to address the research questions and hypotheses. If the applicant proposes the collection of original data (such as surveys or interviews), the draft research design must discuss sampling strategy.

Applicants will be assessed based on the extent to which the draft research design provides a methodologically sound and realistic approach for the proposed research.

(2) Management and Work Plan (Maximum 10 points).

Applicants must provide a draft Management and Work Plan for the project that presents a clear, practical, and forward-looking plan to complete the proposed research. The draft Management and Work Plan must include:

- (a) A narrative discussion of how the applicant will manage the overall project, including discussion of how to assign appropriately skilled staff, managing communication with HUD and other stakeholders (such as CDBG recipients), major project milestones, interdependencies among tasks, and quality control procedures.
- (b) A schedule of tasks (including start dates and completion dates) and deliverables.
- (c) Allocation of resources, including staffing and labor hours, by task.

Applicants will be assessed based on the extent to which the draft management and work plan provides a thorough and realistic approach for managing the overall project.

iv. Rating Factor 4: Performance Evaluation (Maximum Points: 5)

The applicant must describe the general methods and measures it will use to regularly monitor the effectiveness of its work. HUD has identified the broad measures of what constitutes high quality research. The applicant must present a clear plan for regularly monitoring the effectiveness of its work on the following measures:

- (1) Quality of data collection and management (including data security);
- (2) Quality of its data analysis;
- (3) Quality of its written products; and
- (4) Timeliness of performance and effectiveness of cost control measures.

## **2. Preference Points.**

Preference points are not available for this program.

### **B. Review and Selection Process.**

#### **1. Past Performance**

In evaluating applications for funding, HUD will take into account an applicant's past performance in managing funds. Items HUD may consider include, but are not limited to:

- a. The ability to account for funds appropriately;
- b. Timely use of funds received from HUD;
- c. Timely submission and quality of reports submitted to HUD;
- d. Meeting program requirements;
- e. Meeting performance targets as established in the grant agreement;
- f. The applicant's organizational capacity, including staffing structures and capabilities;
- g. Time-lines for completion of activities and receipt of promised matching or leveraged funds; and
- h. The number of persons to be served or targeted for assistance.

HUD may deduct points from the rating score or establish threshold levels as specified under the Factors for Award in the Program NOFAs. Each Program NOFA will specify how past performance will be rated or otherwise used in the determination of award amounts. Whenever possible, HUD will obtain past performance information from staff with the greatest knowledge and understanding of each applicant's performance. If this evaluation results in an adverse finding related to integrity or performance, HUD reserves the right to take any of the remedies provided in Section III.C.2.b.(5), Pre-selection Review of Performance, above.

#### **2. Assessing Applicant Risk**

HUD evaluates the integrity of the applicant as reflected in government-wide websites, information in HUD's files, the federal Do Not Pay portal, public information and information received during HUD's Name Check Review process. If this integrity evaluation results in an adverse finding, HUD reserves the right to take any of the remedies provided in Section III.C.4.a.5.

### **C. Anticipated Announcement and Award Dates.**

HUD anticipates an announcement of a cooperative agreement award approximately 65 days after the application submission deadline.

## **VI. Award Administration Information.**

### **A. Award Notices.**

Following the evaluation process HUD will notify successful applicants of their selection for



funding. HUD will also notify all other applicants, whose applications were received by the deadline, that have not been chosen for award. Notifications will be sent by email to the person listed as the AOR in item 21 of the SF-424.

HUD will send written notifications to both successful and unsuccessful applicants. A notification sent to a successful applicant is not an authorization to begin performance. Upon notification that an applicant has been selected for award, HUD will request additional information to be submitted or may work with the applicant to amend information that was already submitted as part of the application.

#### 1. Budget.

Applicants shall submit a budget (HUD-424CBW) to undertake the project in accordance with the research design and work plan as described in Section V. In addition, a breakdown of labor costs/hours by task must be provided. The budget shall include hourly labor rates (which shall include fringe benefit) for all personnel. All salaries, wages and rates are subject to federal legal requirements. All salaries, wages and rates for specific personnel for specific tasks will be submitted in work plans following award of grants and prior to obligation of any funds.

Recipients will only be allowed to charge indirect costs in accordance with 2 CFR 200.414. In cases where HUD cannot successfully conclude negotiations on a grant (including the budget) with a selected applicant an award will not be made to that applicant. In this instance, HUD may offer an award and proceed to negotiate with another applicant. Administrative costs must be clearly identified in the budget. Administrative costs mean reasonable direct and associated indirect costs of overall research award management and evaluation, including:

- a. Salaries, wages, benefits and related costs for developing and negotiating the budget, developing systems and schedules for ensuring compliance with the award, preparing reports required under the award, attending HUD-required meetings or training, submitting billing information, and management or supervision of persons carrying out the research activities;
- b. Travel costs related to administration of the award;
- c. Administrative services performed under third-party contracts or agreements, such as general legal services, accounting services, and audit services;
- d. Other costs for goods and services required for the administration of the award, including rental or purchase of equipment, insurance, utilities, office supplies and rental and maintenance of office space. Rental and maintenance of office space is allowed only under the following conditions: (a) the lease must be for an existing facilities not requiring rehabilitation or construction except for minimal alterations to make the facilities accessible for a person with disabilities; (b) no repairs or renovations of the property may be undertaken with funds provided und this NOFA; and (c) properties in the Costal Barrier Resources System designated under the Costal Barrier Resources Act (16 U.S.C. 3501) cannot be leased or rented with federal funds.
- e. Administrative costs shall be segregated in a separate cost center within the awardee's accounting system. Administrative costs are limited depending on the total award amount. Administrative costs associated with the management of the award are capped at 15 percent for the first \$1 million of an award and 10 percent for award amounts greater than \$1 million. Costs may be denied or modified if HUD determines that they are not allowable, allocable, and/or reasonable.

f. Code of Conduct. Applicants selected for funding will be required to provide HUD with their written Code of Conduct if they have not previously done so and it is not recorded on the [Code of Conduct](#) page on HUD's website.

## **B. Administrative, National and Department Policy Requirements.**

For this NOFA, the following requirements apply:

### **Ensuring the Participation of Small Disadvantaged Business, and Women-Owned Business.**

HUD is committed to ensuring that small businesses, small disadvantaged businesses, and women-owned businesses, and Labor Surplus Area Firms participate fully in the direct contracting and contracting opportunities generated by HUD's financial assistance. State, local, and Indian tribal governments are required by 24 CFR 85.36(e) to take all necessary affirmative steps in contracting for the purchase of goods or services to assure that minority firms, women-owned business enterprises, and labor surplus area firms are used whenever possible or as specified in the Program NOFAs. Nonprofit recipients of assistance (grantees and subgrantees) are required by 2 CFR 200.321 to make positive efforts to utilize small businesses, minority-owned firms, and women's business enterprises, and Labor Surplus Area Firms whenever possible.

### **Environmental Requirements.**

In accordance with 24 CFR **50.19(b)(1), (2), (3) and (5)**, activities funded under this NOFA are categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under related laws and authorities.

### **OMB Administrative Requirements and Cost Principles.**

Unless excepted under 24 CFR chapters I through IX, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, set forth in 2 CFR part 200, shall apply to Federal Awards made by the Department of Housing and Urban Development to non-Federal entities. Applicants should be aware that if the total Federal share of your Federal award may include more than \$500,000 over the period of performance, you may be subject to post award reporting requirements reflected in Appendix XII to Part 200 Award Terms and Condition for Recipient Integrity and Performance.

### **Drug-Free Workplace.**

Recipients and subrecipients receiving funds from HUD are subject to [2 CFR part 2429](#), which implements the Drug-Free Workplace Act of 1988 (41 U.S.C. 701, et seq.), as amended, and

required to provide a drug-free workplace. Compliance with this requirement means that the applicant will:

- Publish a statement notifying employees that it is unlawful to manufacture, distribute, dispense, possess, or use a controlled substance in the applicant's workplace and such activities are prohibited. The statement must specify the actions that will be taken against employees for violation of this prohibition. The statement must also notify employees that, as a condition of employment under the federal award, they are required to abide by the terms of the statement and that each employee must agree to notify the employer in writing if the employee is convicted for a violation of a criminal drug statute occurring in the workplace, no later than 5 calendar days after such conviction.
- Establish an ongoing drug-free awareness program to inform employees about:
  - The dangers of drug abuse in the workplace;
  - The applicant's policy of maintaining a drug-free workplace;
  - Available drug counseling, rehabilitation, or employee assistance programs; and
  - The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
- Notify HUD and other federal agencies providing funding in writing within 10 calendar days after receiving notice from an employee of a drug abuse conviction or otherwise receiving actual notice of a drug abuse conviction. The notification must be provided in writing to HUD's Office of Strategic Planning and Management, Grants Management Division, Department of Housing and Urban Development, 451 7th Street, SW, Room 3156, Washington DC 20410-3000, along with the following information:
  - The program title and award number for each HUD award covered;
  - The HUD staff contact name, telephone and fax numbers;
  - A grantee contact name, telephone and fax numbers; and
  - The convicted employee's position and title.
- Require that each employee engaged in the performance of the federally funded award be given a copy of the drug-free workplace statement required in item (a) above and notify the employee that one of the following actions will be taken against the employee within 30 calendar days of receiving notice of any drug abuse conviction:
  - Institution of a personnel action against the employee, up to and including termination consistent with requirements of the Rehabilitation Act of 1973 (29 U.S.C. 794), as amended; or
  - Imposition of a requirement that the employee participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.
- Identify to the agency making the award all known workplaces under the award. The workplace identification must include the actual address of buildings or other sites where work under the award will take place. The applicant must also inform the agency of any workplace changes during the performance of the award. The identification of the workplaces must occur either:
  - At the time of application or upon award; or
  - In documents the applicant keeps on file in its offices during performance of the award, in which case the applicant must make the information available for

inspection upon request by the agency.

### **Safeguarding Resident/Client Files.**

In maintaining resident and client files, funding recipients shall comply with the Privacy Act of 1974 (Privacy Act), the agency rules and regulations issued under the Privacy Act, and observe state and local laws concerning the disclosure of records that pertain to individuals. Recipients must comply with the Privacy Act in the design, development, or operation of any system of records on individuals and take reasonable measures to ensure that resident and client files are safeguarded, including when reviewing, printing, or copying client files.

### **Compliance with the Federal Funding Accountability and Transparency Act of 2006 (Pub. L.109-282) (Transparency Act), as amended.**

Prime Grant Awardee Reporting. Prime recipients of HUD's financial assistance are required to report certain subawards in the Federal Funding Accountability and Transparency Act Subaward System (FSRS) website located at [www.fsr.gov](http://www.fsr.gov) or its successor system for all prime awards listed on the FSRS website. Prime financial assistance awardees receiving funds directly from HUD are required to report subawards and executive compensation information both for the prime award and subaward recipients, including awards made as pass-through awards or awards to vendors. For reportable subawards, if executive compensation reporting is required and subaward recipients' executive compensation is reported through the SAM system, the prime recipient is not required to report this information. The reporting of award and subaward information is in accordance with the requirements of the Transparency Act, as amended by section 6202 of Public Law 110-252, and by section 3 of Public Law 113-101.

Text Field: Compliance with the Federal Funding Accountability and Transparency Act of 2006 (Pub. L.109-282) (Transparency Act), as amended

## **C. Reporting.**

HUD requires recipients to submit performance and financial reports under OMB guidance and program instructions.

**1. Reporting Requirements and Frequency of Reporting.** This Program NOFA and award agreement will specify the reporting requirements, including content, method of data collection, and reporting frequency. Applicants should be aware that if the total Federal share of your Federal award may include more than \$ 500,000 over the period of performance, you may be subject to post award reporting requirements reflected in Appendix XII to Part 200--Award Term and Condition for Recipient Integrity and Performance Matters.

**2. Race, Ethnicity and Other Data Reporting.** HUD requires recipients that provide HUD-funded program benefits to individuals or families to report data on the race, color, religion, sex, national origin, age, handicap (disability), and family characteristics of persons and households

who are applicants for, participants in, or beneficiaries or potential beneficiaries of HUD programs in order to carry out the Department's responsibilities under the Fair Housing Act, Executive Order 11063, Title VI of the Civil Rights Act of 1964, and Section 562 of the Housing and Community Development Act of 1987. Program NOFAs may specify the data collection and reporting requirements. Many programs use the Race and Ethnic Data U.S. Department of Housing OMB Approval No. 2535-0113 Reporting Form HUD-27061.

**3. Performance Reporting.** All HUD funded programs, including this program, require recipients to submit, not less than annually, a report documenting achievement of outcomes under the purpose of the program and the work plan in the award agreement.

Please direct questions regarding specific reporting requirements to the point of contact listed in Section VII. Agency Contact(s), below.

#### **D. Debriefing.**

For a period of at least 120 days, beginning 30 days after the awards for a Program NOFA are publicly announced, HUD will provide to a requesting applicant a debriefing related to its application. A request for debriefing must be made in writing or by email by the authorized official whose signature appears on the SF424 or by his or her successor in office, and be submitted to the person, organization, or email address identified as the contact under the section entitled Agency Contact(s) in the Program NOFA. Information provided during a debriefing may include the final score the applicant received for each rating factor, final evaluator comments for each rating factor, and the final assessment indicating the basis upon which funding was approved or denied.

#### **VII. Agency Contact(s).**

HUD staff will be available to provide clarification on the content of this NOFA. Please note that HUD staff cannot assist applicants in preparing their applications. Questions regarding specific program requirements for this NOFA should be directed to the point of contact listed below.

Kinnard D. Wright

(202) 402-7495

[Kinnard.d.wright@hud.gov](mailto:Kinnard.d.wright@hud.gov)

Persons with hearing or speech impairments may access this number via TTY by calling the toll-free Federal Relay Service at 800-877-8339.

#### **VIII. Other Information.**

**Paperwork Reduction Act Statement.** The information collection requirements in this notice have been approved by OMB under the Paperwork Reduction Act of 1995 (44 U.S.C.3501-3520). In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and

a person is not required to respond to, a collection of information unless the collection displays a valid OMB control number. Each Program NOFA will identify its applicable OMB control number unless its collection of information is excluded from these requirements under 5 CFR part 1320.

### **National Environmental Policy Act.**

A Finding of No Significant Impact (FONSI) with respect to the environment has been made for this NOFA in accordance with HUD regulations at 24 CFR Part 50, which implement section 102(2)(C) of the National Environmental Policy Act of 1969 (42 U.S.C. 4332(2)(C)). The FONSI is available for inspection at HUD's Funds Available web page at [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/administration/grants/fundsavail](http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail).

### **Appendix.**

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